WELCOME TO THE ETHICS COMMISSION MEETING

As a courtesy and to avoid excessive noise/feedback, please mute your microphone except to testify.



Date: August 19, 2020

Time: 11:30 a.m.

Webex: Meeting No. 146 722 3732

Meeting Password: bwXuSXpP356 (29987977 from phones, video systems or Join by phone 1-408-418-9388)

ORDER OF BUSINESS

I. Call to Order, Public Notice, Quorum



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II.A. CHAIR'S REPORT

- 2. For Action: Approval of Open Session Minutes of June 24, 2020
- 3. For Action: Approval of Executive Session Minutes of June 24, 2020



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II.B. EXECUTIVE DIRECTOR AND LEGAL COUNSEL'S (EDLC) REPORT

- 1. Staff Work Reports Summary
 - a. CARES Act Funds
 - Protective equipment sneeze shields, HEPA filters, contactless thermometer
 - Office equipment –laptops & software, webcams, hubs, Adobe Acrobat Pro to facilitate remote work, virtual meetings



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II.B.1. STAFF WORK REPORTS – HIGHLIGHTS SENIOR CLERKS

- CARES Act funds procurement, request use of funds
- Lobbyists final processing of registrations, annual reports, obtaining post-COVID notaries
- Financial disclosures filing forms, setting up process with Clerk's Office
- Disposing equipment
- Drafting SOPs for all processes
- Developing tracking system, paper-based forms



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II.B.1. STAFF WORK REPORTS – HIGHLIGHTS SENIOR CLERKS

- Updating, uploading website, social media
- Assisting meeting admin & doc prep, drafting minutes, transcribing training videos
- Completing advisory opinion compendium
- Assisting investigations (interviews, drafting memos, reports, exhibits)



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II.B.1. STAFF WORK REPORTS-HIGHLIGHTS LEGAL CLERK III

- Meeting administration, processing; managing EC schedule, UIPA log, log, pCard admin
- Updating website, posting newsletters, opinions, other
- Assisting investigation filings, drafting correspondence, memos, emails, other outreach
- Managing front-office, phones, case/contact intake
- Compiling board/commission member, liaison list



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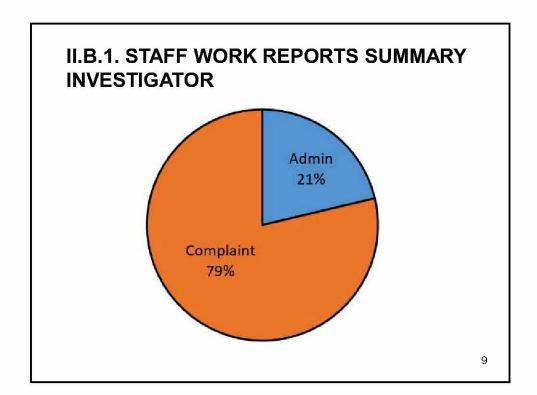
7

II.B.1. STAFF WORK REPORTS – HIGHLIGHTS INVESTIGATOR

- Managing case load, attending case management meetings
- Assisting with case processing, procedures
- Transitioning work
- Last day August 28, 2020



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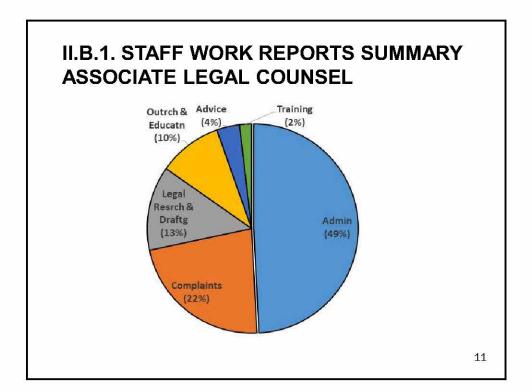


II.B.1. STAFF WORK REPORTS - HIGHLIGHTS ASSOCIATE LEGAL COUNSEL

- Training working w/ IT on new emp'ees, bd/comm members online training; updating specialized training
- Leading case management meetings; drafting SOPs, templates, advisory opinion compendium
- Investigating, prosecuting cases, training INV, other staff
- Financial disclosures drafting legislation, working w/ HR, IT on enforcement
- Conducting research for PIG, EC law, other revisions
- Handling requests for legal advice, tweeting



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II.B.2. STATISTICS

- a. Website Sessions
 - June 2020 710 (508 users)
 - July 2020 629 (488 users)



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II.B.2. STATISTICS

- b. Financial Disclosure Filings
 - Clerk's Office candidate public disclosures done
 - Working with DHR, DIT to fix eform disclosure errors
 - ✓ Some emp'ees didn't receive filing reminder
 - ✓ Some emp'ees on filing list, shouldn't be
- c. Lobbyist Registrations, Annual Reports
 - Following up with filers for notary certifications



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II.B.2.d. FY 2020 DEPARTMENT AND AGENCY REPORTS (DRAFT)

ETHICS COMMISSION	FY 2017	FY 2018	FY 2019	FY 2020
Contacts Received (requests for advice, concerns, misc. inquiries)	268	613	481	536
Contacts Answered (requests for advice, concerns, misc. inquiries)	182	601	458	527
Ethics Concerns Received	86	58	108	90
Employees Trained	809	9,686	843	6,654
Board, Commission Members Trained	0	176	0	0
Disclosures Received (financial, conflict of interest, outside interest, candidate, nomination, other)	774	841	878	811
Ethics Commission Meetings	14	11	8	8
Informal*/Formal Advisory Opinions Issued	3	1	109 / 5	195 / 1
Lobbyist Registrations, Annual Reports Received	268	323	378	419

^{*} Staff responses to requests for legal advice

II.B.3. BUDGET

- b. FY2022 Operating Budget Request
 - City unsure of FY2021 budget revenue
 - FY2022 Budget Request Guidelines
 - ✓ Continue essential core services
 - Project "no growth"
 - Use fiscal discipline to re-examine operations during pandemic, anticipate new administration



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II.B.4. EDUCATION AND OUTREACH

- a. Ethics Training Program (FY19-FY20)
 - Deadline extended to Dec. 31, 2020
 - 1 dept finished Design & Construction
 - Board/Commission member pending
 - DIT non-domain user interface pending
 - Use video, board liaisons administer training
 - EC staff compiling board member, liaison list



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II.B.4. EDUCATION AND OUTREACH

- a. Ethics Training Program (FY19-FY20) (cont'd)
 - Appointee end-of-the-administration training
 - Webex session
 - ALC participated
 - Handouts included Ethics newsletter
 - the Compass: Working for a Private Employer after Working at the City (July 2020)



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II.B.4. EDUCATION AND OUTREACH (cont'd)

- b. E-Newsletter (the Compass), Twitter, Website
 - Twitter statistics, highlights (6/2020 to date)
 - ✓ Total tweets 53
 - ✓ Profile visits 144
 - ✓ Tweet impressions 17,992
 - √ Followers 252



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II.B.4. EDUCATION AND OUTREACH (cont'd)

- b. E-Newsletter (the Compass), Twitter, Website
- Top tweets
 - June Newsletter
 - To accept or not to accept ... in 1962 and now!
 - Consider who you are to begin with, you are a human being ... (Epictetus)



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II.B.4. EDUCATION AND OUTREACH (cont'd)

- c. Poster
 - Addresses known issues
 - Posted in Ocean Safety substations, other locations island wide
 - Included on back-of-the-pay-stub (BOPS)
 - Developing others to discourage behavior



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II.B.4.d. UH LAW SUMMER INTERN POSTING

- Chair Marks, ALC outreach to UH law school
- Fall intern posting on job board
- No interested candidates pending



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II.B.5. LEGISLATION

- a. Reso 19-331 EC budget flexibility
 - Passed, will be on Nov. 2020 ballot
- b. Reso 20-83, FD1 exempt EC staff from classification plan
 - Passed, will be on Nov. 2020 ballot

Discussion: Advocate v. inform on ballot initiative.



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II.B.6. EDUCATION OPPORTUNITIES

- a. Weinstein Virtual Ethics Conversation Series (July, August 2020) Report
- b. Society of Corp. Compliance and Ethics (SCCE) 19th Virtual Annual Compliance & Ethics Institute (Sep. 14-16, 2020)
- c. Council on Governmental Ethics Laws 42nd
 Virtual Annual Conference (Dec. 13-16, 2020)



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III. EXECUTIVE SESSION DETERMINATION

A. For Discussion and Action:

Should the EC Exercise Its Discretion to Consider In re Yamane v. City Employee – Hearing on Motion to Adopt Proposed Stipulated Findings of Fact and Conclusions of Law; Recommended Disciplinary Action



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III. EXECUTIVE SESSION DETERMINATION

B. For Discussion and Action:

Should the EC Exercise Its Discretion to Consider Whether There Is Probable Cause to Believe That a City Employee Violated Revised Charter of Honolulu Section 11-104



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IV. EXECUTIVE SESSION

A. For Action:

In re Yamane v. City Employee – Hearing on Motion to Adopt Proposed Stipulated Findings of Fact and Conclusions of Law; Recommended Disciplinary Action

[pursuant to HRS §§ 92-5(a)(2), 92-5(a)(4)]



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IV. EXECUTIVE SESSION

B. For Decision:

Whether There Is Probable Cause to Believe That a City Employee Violated Revised Charter of Honolulu Section 11-104

[pursuant to HRS §§ 92-5(a)(2), 92-5(a)(4)]



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V. STRATEGIC PLANNING

- A. Ethics Commission 2027 (Amended)
 - 1. Permitted Interaction Group (PIG) Review Strategic Plan Top Priorities – Meeting #1 Report
 - For Action: Review, Approval of Draft Financial Disclosures Legislation (ROH Sec. 3-8.4)
 - For Action: Review, Approval of Draft Lobbyist Legislation (ROH Sec. 3-13.4)



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VI. ADJOURNMENT

A. 2021 EC Meeting Schedule (Proposed)

- [Last meeting 2020 December 16, 2020]
- February 17, 2021
- April 14, 2021
- June 16, 2021
- August 18, 2021
- October 20, 2021
- December 15, 2021



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VI. ADJOURNMENT

A. 2021 EC Meeting Schedule (Reserved)

- January 20, 2021
- March 17, 2021
- May 19, 2021
- July 21, 2021
- September 15, 2021
- November 17, 2021



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VI. ADJOURNMENT

Next Meeting: October 21, 2020

Website: www.honolulu.gov/ethics Email: ethics@honolulu.gov

Twitter: @HonEthicsComm



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Agenda Item II.A.2. Page 1

[Open Session Minutes of June 24, 2020 Commission Meeting]

ETHICS COMMISSION CITY AND COUNTY OF HONOLULU

925 DILLINGHAM BOULEVARD, SUITE 190 • HONOLULU, HAWAI'I 96817
PHONE: (808) 768-9242 • FAX: (808) 768-7768 • EMAIL: ethics@honolulu.gov • INTERNET: www.honolulu.gov/ethics

KIRK CALDWELL MAYOR



JAN K. YAMANE EXECUTIVE DIRECTOR AND LEGAL COUNSEL

ETHICS COMMISSION CITY AND COUNTY OF HONOLULU

Date and Place: June 24, 2020

Webex Video Conferencing

Meeting Number (Access Code): 1461069061

Meeting Password: RzuptxNZ283 (79878969 from phones and video systems) or

join by phone 1-408-418-9388

Present: Hon. Victoria Marks (ret.), Chair

David B. Monk, Vice Chair

Peter S. Adler, Commissioner

Hon. Riki Amano (ret.), Commissioner Lynette Lo Kanda, Commissioner Michael A. Lilly, Esq., Commissioner

Hon. Allene R. Suemori (ret.), Commissioner

Jan K. Yamane, Executive Director and Legal Counsel (EDLC)

Laurie A. Wong-Nowinski, Associate Legal Counsel (ALC)

Janice K. Yonamine, Investigator (INV) Joanne O.N. Lim, Sr. Clerk (Sr. CLK) Kristie E.L. Kato, Sr. Clerk (Sr. CLK)

Moana Yost, Deputy Corporation Counsel, Department of the Corporation Counsel (COR)

B.L., member of the public

MINUTES OF THE ETHICS COMMISSION MEETING

I. Call to Order, Public Notice, Quorum

Chair Marks called the meeting to order at approximately 11:31 a.m., declaring quorum with all commissioners present via Webex.

- II. New Business
 - A. Chair's Report
 - 1. For Action: Approval of Open Session Minutes of April 15, 2020

Commissioner Amano made and Commissioner Adler seconded a motion to approve the open session minutes of April 15, 2020. The motion carried unanimously.

2. For Action: Approval of Open Session Minutes of May 1, 2020

Commissioner Kanda requested that the minutes be revised to correct the spelling of Commissioner Lilly's name on page 5.

Vice Chair Monk made and Commissioner Amano seconded a motion to approve the open session minutes of May 1, 2020, as amended. The motion carried unanimously.

- B. Executive Director and Legal Counsel's Report
 - 1. Staff Work Reports Summary

The EDLC stated that most ethics staff continue to tele-work.

The EDLC reported that one of the Sr. CLKs is finalizing processing of lobbyist registrations, annual reports, and financial disclosures. She stated that there was an issue with lobbyists notarizing their forms because banks and other financial services are closed. They also met with the City Clerk's office to discuss public financial disclosure procedures and notification issues when city officers enter or leave service. The EDLC also reported that the other Sr. CLK is updating our website and handling social media.

The EDLC reported that the LCIII has been in the office daily answering the phone and reviewing and distributing mail and emails.

The EDLC reported that the INV has been able to focus more on the case load. She referred to the INV's pie chart and noted that work on complaints increased to almost 70 percent of her time.

The EDLC reported that the ALC continues to carry a heavy administrative load.

Commissioner Amano asked if there was any way to measure progress on resolving the complaints backlog.

The ALC stated that she meets with the INV every other week to discuss case status. She stated that she could create an aging report for the next EC meeting. The EDLC stated that the EC may have to go into executive session to discuss the report.

2. Statistics

- a. Website Sessions February, March, April, May 2020
 The EDLC reported the following: February 2020 (497), March 2020 (460), April 2020 (400), May 2020 (466).
- Financial Disclosure Filings Update
 The EDLC stated that she processed 387 confidential city officer and employee E-Forms from January to March 2020.
- c. Lobbyist Registrations, Annual Reports Update

 The EDLC stated that there are many organizations with one to five lobbyists working for them. She also stated that staff will continue to compile lobbyist statistics for the fiscal year.

3. Budget

a. FY2021 Operating Budget – Bill 20 (2020), CD1, FD1

The EDLC stated that the FY 2021 Operating Budget passed on June 3, 2020 as Bill 20 (2020) CD1, FD 1. On June 18, 2020, it was enacted without the Mayor's signature and is now Ordinance 20-22. The Council Draft 1 (CD1) added the requested three full-time staff (administrative specialist, training specialist, and investigator). The Council's Floor Draft 1 (FD1) included two additional positions (private secretary and associate legal counsel). After the budget was passed, the executive branch unallotted funds for the Council-added positions. She submitted a request to release funds with the Managing Director's office. The EDLC thanked Chair Marks and Vice Chair Monk for supporting the office through the budget process during this difficult time. Commissioner Amano also thanked Chair Marks, Vice Chair Monk, and the EDLC for their efforts on the budget.

The EDLC mentioned that she is reconfiguring current office space to accommodate the five new positions. A Human Resources Safety Specialist assessed our office and said that our desks are six feet apart. Everyone is encouraged to practice social distancing and wear a face mask to keep everyone in the office safe.

4. Education and Outreach

a. Ethics Training Program (FY19–FY20) – Update

The EDLC announced that the ethics training deadline was extended to December 31, 2020, because of the delay in deploying training. She stated that the online ethics training for board and commission members is still pending production with the Department of Information Technology (DIT). The ALC stated that due to COVID-19, DIT has had to reprioritize and delayed our project.

b. E-Newsletter, Twitter, Website – Update

The EDLC stated that three newsletters were distributed: May 2020 (ethics reminders during the Covid-19 pandemic); June 2020 (campaign activities checklist dos and don'ts); July 2020 (working for a private employer after working for the city). Because it's an election year, many people within the administration are looking for another job. The newsletters are distributed to all agencies, and posted to our website, tweeted, and emailed to those who signed up to receive ethics updates via Webmaster.

The EDLC explained that we recently became aware that there were over 200 people signed up to receive ethics updates via Webmaster, the city's electronic distribution system. She thanked the Sr. CLK for discovering this. Staff cross-referenced the subscribers on Webmaster with Ethics' interested persons email distribution list and others who requested notification to consolidate distribution methods. The staff now uses Webmaster to distribute newsletters and agendas.

Commissioner Amano thanked the EDLC and staff for their newsletter outreach efforts. The EDLC praised the City's Design and Print Shop for creating the newsletters' graphics and layout.

Commissioner Amano stated that we have progressed with the quality and quantity of the newsletters.

c. Brochure - Update

The EDLC stated that the City's Design and Print Shop created the graphics and layout for the brochures: Brochure No. 1 (ethics guidance for city board members), staff requested the Mayor's Office to distribute the brochure to each new appointee; Brochure No. 2 (about the Honolulu Ethics Commission) can be distributed at meetings, trainings, and interviews, to inform others of what we do and how to contact us; and Brochure No. 3 (ethics guidance for city lobbyists), staff requested that it be placed in city reception areas.

Commissioner Amano asked if the brochures will be available electronically. The EDLC stated that all brochures will be posted on our website.

Vice Chair Monk asked about our plans for restocking the brochures. The EDLC stated that we left extra brochures so distribution staff can restock; when stock runs low, they can request more and we can reprint.

Commissioner Adler asked if we have an idea of the number of hits that we get on the website and on Twitter. The EDLC referred back to the slides with the statistics and stated that we have anywhere from 400-500 website sessions. She stated that we will report Twitter statistics at the next meeting.

d. University of Hawai'i at Mānoa, Richardson School of Law – Posting for Summer Interns – Update

The ALC stated that the public sector law panel was cancelled. The ALC reached out to the director of the law school career center and provided language to post on the job board. The ALC stated that one of our problems is not having a database for our advisory opinions. The ALC has been working on an advisory opinion compendium. She wants a database of advisory opinions available for new legal counsel.

Chair Marks suggested to check back at the law school on a regular basis.

Commissioner Amano asked if the database will be available to the public as well. The ALC stated that the database will be available to the public online. Currently, other attorneys call her to ask for guidance because they can't find an advisory opinion that is on point.

Commissioner Adler asked if the database is specific to the City and County of Honolulu or a broader jurisdiction. The ALC stated that for now, it will just be for the City and County of Honolulu so we can handle our own cases and precedent. But, in the future she would like to expand the compendium to include other counties and the state advisory opinions. Commissioner Adler suggested that we partner with other counties for resources.

5. Legislation

a. Resolution 19-331 Initiating Amendments to the Revised Charter of the City and County of Honolulu 1973 (2017 Edition), Relating to the Honolulu Ethics Commission – Update

Resolution 19-331 was introduced by Councilmember Waters. It provides the Commission with budget flexibility similar to the Department of the Prosecuting Attorney. The measure passed second reading and its second committee referral.

b. Resolution 20-83, FD1 Initiating Amendments to the Revised Charter of the City and County of Honolulu 1973, As Amended (2017 Edition), Relating to Honolulu Ethics Commission Staff – Update

Resolution 20-83 would exempt Ethics Commission staff from the classification plan. The measure passed second reading and its second committee referral.

The EDLC stated that both resolutions must be approved at the July City Council meeting in order to be placed on the ballot for November.

- 6. Education Opportunities Commissioners and Staff
 - a. COGEL 42nd Annual Conference (December 13-16, 2020), Virtual Meeting (Hosted by City of Atlanta) Update

The EDLC announced that the Council on Government Ethics Laws (COGEL) 42nd annual conference will be held virtually and free for Commissioners and staff.

III. Executive Session Determination

A. For Discussion and Action: Whether the Ethics Commission Should Exercise Its Discretion to Consider Whether There Is Probable Cause to Believe That a City Employee Violated Revised Charter of Honolulu Section 11-104

Vice Chair Monk made and Commissioner Adler seconded a motion that the Ethics Commission should exercise its discretion to consider whether there is probable cause to believe that a city employee violated RCH § 11-104. The motion passed unanimously.

Vice Chair Monk made and Commissioner Adler seconded a motion to enter Executive Session. The motion passed unanimously.

The Commission entered into Executive Session.

- IV. Executive Session (The following agenda items will be reviewed in executive session pursuant to Section 92-5(a)(2), Hawaii Revised Statutes (HRS), to consider the hire, evaluation, dismissal, or discipline of an officer or employee or of charges brought against the officer or employee, where consideration of matters affecting privacy will be involved; or Section 92-5(a)(4), HRS, to consult with the Commission's attorney on questions and issues pertaining to the Commission's powers, duties, privileges, immunities and liabilities.)
 - A. For Decision: Whether There Is Probable Cause to Believe That a City Employee Violated Revised Charter of Honolulu Section 11-104

Commissioner Amano made and Vice Chair Monk seconded a motion to exit

executive session and return to open session. The motion passed unanimously.

The Commission exited Executive Session.

Chair Marks reported that the Commission voted unanimously that there was probable cause to believe that a city employee violated Revised Charter of Honolulu Sec. 11-104 and authorized staff to issue a Notice of Alleged Violation.

V. Strategic Planning

- A. Ethics Commission—2027 (Amended)
 - 1. PIG Review Strategic Plan Top Priorities (Chair Marks, Vice-Chair Monk, Commissioner Suemori)

The EDLC stated that the March 2020 PIG meeting was cancelled.

Chair Marks added that the PIG will also look at redoing legislation for financial disclosures and lobbyists registrations. This includes items that have been taken up in various meetings.

The EDLC is drafting an agenda that includes law change updates and fixing areas in the law.

Commissioner Amano volunteered to be on the PIG.

COR Deputy Moana Yost stated that Commissioner Amano couldn't join the PIG because there can't be a quorum of the Ethics Commission in the PIG.

Vice-Chair Monk stated that the first meeting will most likely be devoted to prioritizing and scheduling which items to take up and when.

Commissioner Adler stated that he is available to help the PIG.

VI. Adjournment – Next Meeting: August 19, 2020

At approximately 12:50 p.m., Commissioner Lilly made and Vice Chair Monk seconded a motion to adjourn the meeting. The motion carried unanimously.

Agenda Item II.B.4.b. Page 2

[E-Newsletter (the Compass)]

Wong, Alyson

From: Webmaster

Sent: Wednesday, June 10, 2020 3:26 PM

To: Wong, Alyson

Subject: Ethics Reminders During the Covid-19 Pandemic

Having trouble viewing this email? Click here to view as a webpage.



Ethics Reminders During the Covid-19 Pandemic - The Compass May 2020

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ETHICS REMINDERS DURING THE COVID-19 PANDEMIC

Many city officers and employees are working from home under the Mayor's stay-at-home directives. Other city personnel continue to report to their work sites or are working to reopen their agencies to the public. Whether you're working from your home or at your city worksite, work is different under COVID-19. Stress and anxiety can affect the way you do your work and make decisions. Here are some ethics law reminders to help you make good ethical decisions.

Make Fair Decisions (Fair and Equal Treatment)

- Make decisions that treat people as equally as possible. City work decisions affect our community and should not favor some people, but disadvantage others.
- Your duty is to serve the public—make decisions that serve the public interest, not your own interest or the interest of anyone else.
- Many people in Honolulu have lost their jobs. Even if you want to help, you may not enter into a financial or business transaction with anyone you supervise or for anyone or any business your city agency regulates.
- You can't be involved in hiring or promoting a relative.
- You can't award a city contract to a family member's business.

Using City Resources and Working from Home

- If you're working from home with city-issued equipment (laptop, Toughbook, NUC, printer, other device), use that equipment for city work only.
- Report to work as scheduled and work a full day. Trust is very important as you work from home, so be diligent and honest about the hours you've worked.
- If you're using city supplies (paper, pens, paper clips, staplers, other) and equipment in your home office to work from home, return leftover supplies and equipment to your city office after work-from-home orders have been lifted and you return to your city office or worksite.
- You may have been given access to secret (confidential) city information in the city's servers so that you can do your work from home. The city has entrusted you with sensitive city resources, so do the right thing and keep that information safe.

Avoid Conflicts of Interest when Spending Special Emergency or Disaster Funds

- If your agency will receive special funding for COVID-19-related matters, follow all applicable guidelines (federal, state, city, procurement, others) when spending that money. Even though some state procurement laws (such as HRS Chapters 103D, 103F) have been suspended through May 2020, they will apply again after the governor's proclamations end. Contact your agency's COR deputy for guidance on spending special funding such as CARES Act funds. Contact the Ethics Commission or your agency's COR deputy for guidance on conflicts of interest.
- If you have a personal, business, or financial interest in a matter, take yourself out of making decisions and delegate that decision to someone else. Notify your appointing authority and file a public Disclosure of Conflict of Interest Statement. Find this form on the Ethics Commission website: honolulu.gov/ethics/Disclosure Forms & Instructions/Disclosure of Conflict of Interest Statement.
- Don't make decisions involving your relative or close friend.

Gifts to First Responders and Gifts of Cash, Personal Protective Equipment

- If you are a city officer or employee first responder, including those who enforce the law (e.g., police officer, fire fighter, emergency medical technician, lifeguard, other), the Commission recently decided that you may accept tokens of aloha and acts of kindness during the governor's and/or mayor's declaration of state of emergency or disaster. For example, you may accept gifts of food, coffee, personal protective equipment (PPE), and discounts.
- In general, gift guidelines remain unchanged during the pandemic. Politely refuse and return personal gifts of cash and gift cards. If you receive an anonymous cash gift or gift card and can't return the gift, forward the cash or gift card to your director's office.
- Only the City Council can accept gifts of cash as a "gift to the City." Consult your agency's COR deputy for guidance.
- The Council can also accept gifts of PPE as a "gift to the City" and designate use by your department. Consult your agency's COR deputy for guidance.

Still have questions?

Contact the Ethics Commission for specific guidance on city ethics laws: p: 768-9242 w: honolulu.gov/ethics e: ethics@honolulu.gov

Stay safe during the pandemic.

Wong, Alyson

From: Webmaster

Sent: Monday, June 29, 2020 10:41 AM

To: Wong, Alyson

Subject: Campaign Activities Checklist

Having trouble viewing this email? Click here to view as a webpage.



Ethics Commission Newsletter - The Compass June 2020 - Campaign Activities Checklist

You are receiving this message because you requested this feature as part of your email subscription registration on <u>Honolulu.gov</u>.

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Campaign Activities Checklist DOS AND DON'TS for City Officers and Employees



DO vote.

DO stay focused and work hard at your city job through the election season.

DO delete campaign emails and unsubscribe from campaign distribution lists on your city email account.



DON'T use city time, equipment, social media accounts, materials, offices, and work sites for campaign activities. Campaign activities include:

- 1. Selling, buying, or passing out campaign fundraiser tickets
- 2. Holding political meetings
- Organizing or participating in political rallies and signwaving
- 4. Making or sending campaign flyers and materials
- 5. Asking people to help, support, or contribute to a campaign
- 6. Asking people to vote for a candidate or ballot measure (note: there are exceptions for ballot measures, so contact the Commission for more information)

DON'T use city workers during city working hours to do campaign work or activities.

DON'T use your city title or position to give a special advantage to a political candidate or campaign.

- 1. You and your city agency can't endorse a candidate.
- 2. You can't use your city position to require anyone to contribute time or money to a campaign.

DON'T allow candidate walk-throughs in the non-public areas of your city agency.

2020 is an election year and many candidates may ask for your support. Use this checklist to help you ethically navigate through the campaign season. Mahalo for doing the right thing!

Are you a candidate for city office?

Follow these additional tips.



DO file your public financial disclosure with the Office of the City Clerk.



DON'T link city websites to your campaign website and campaign social media sites and avoid sending campaign emails to city email addresses.



DON'T put the City Seal on campaign flyers and materials.

Still have questions?

Contact the Ethics Commission for more information:

p: 768-9242

w: honolulu.gov/ethics

e: ethics@honolulu.gov

This newsletter is a guide and not legal advice.
Paid for by the taxpayers of the City and County of Honolulu

Wong, Alyson

From: Webmaster

Sent: Tuesday, June 30, 2020 4:00 PM

To: Wong, Alyson

Subject: Working for a Private Employer After Working at the City

Having trouble viewing this email? Click here to view as a webpage.



Honolulu.gov City and County of Honolulu

Ethics Commission Newsletter - The Compass July 2020 - Working For A Private Employer After Working At The City

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WORKING FOR A PRIVATE EMPLOYER AFTER WORKING AT THE CITY

Applying for a job with a private company? If this is you, keep these 5 simple tips in mind.

1. One year cooling-off period. City ethics laws limit the type of work you can do for one year after leaving your city job so that your new employer doesn't get special treatment because of your former position. The one year cooling-off period applies to full-time and part-time city officers and employees and members of city boards and commissions.



- 2. Secret information. Keep secret (confidential) information to yourself even after you leave your city job. If you share secret city information with someone, you may give yourself or someone else an unfair advantage.
- 3. No pay from a private employer for your prior city work for one year. It's your responsibility to tell your employer that you can't work on a matter that you worked on while at your city job for one year after leaving your city job. Also, your private employer can't pay you to work on something if you know secret information about it.

There are 2 exceptions. You can work on the matter and be paid by your private employer if:

Exception #1. You didn't work on it while working for the city, don't know any secret information about it, and file a sworn statement in writing (affidavit form) with the city agency you'll be working with. Find this form on our website: https://www.honolulu.gov/rep/site/ethics/Affidavit.pdf

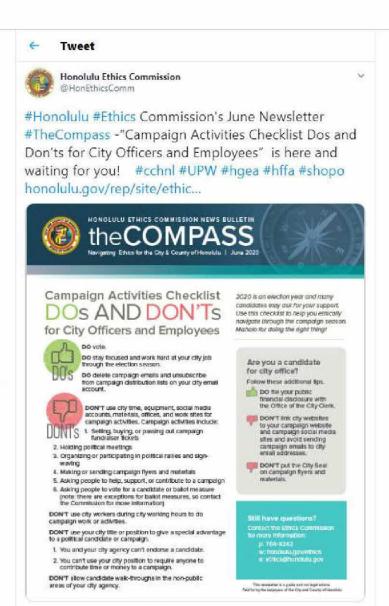
Exception #2. The matter is routine, clerical, or administrative and doesn't involve any special decisions.

- 4. Okay to be a paid city consultant. If the City hires you directly as a consultant, you can work on a matter even if you worked on the same matter while working for the city and have secret information about it. Also, you can appear on any matter before any city agency. "Appear" includes in-person and virtual meetings, telephone calls, letters, and emails.
- **5.** No negotiating for a job with a private employer while reviewing, licensing, or permitting their work. Your future job is a financial interest so negotiating for a job while you work on your future employer's city applications, permits, and other matters is a conflict of interest.

Still have questions?

Contact the Ethics Commission for specific guidance on city ethics laws: p: 768-9242 w: honolulu.gov/ethics e: ethics@honolulu.gov

Agenda Item II.B.4.b Page 2 [Top Tweets]



12:48 PM - Jun 2, 2020 - Twitter Web App

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2 Retweets and comments 1 Like

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Honolulu Ethics Commission @HonEthicsComm · Jul 23

now! So how to thank a city employee for a good job w/o putting them in an awkward gift accepting dilemma?? "A note of appreciation or a card serves #TBT To accept or not to accept, that was the #ethics question...in 1962 and the purpose quite as well." Nicely said.



Replies



COIB Daily Dose 🔇 @NYCCOIB - Jul 24

"several department heads have indicated general disapproval of the practice!!"

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Relevant people



Honolulu Ethics Com... @HonEthicsComm



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What's happening

MLB · LIVE

Rays at Red Sox

Trending with: The Red Sox



Watch live at 7PM PT #OnTheRecord

Promoted by HBO Max

Collectibles · Trending Iglesias

70.3K Tweets

>

World news - This morning

Israel and UAE reach deal to normalize relations



Agenda Item II.B.5.a Page 2 [Resolution 19-331]



HONOLULU CITY COUNCIL DISTRICT 4 COMMUNITY UPDATE

Hawai'i Kai, Kuli'ou'ou, Niu Valley, Āina Haina, Wailupe, Wai'alae-Iki, Kalani Valley, Kāhala, Wilhelmina Rise, Kaimukī, Kapahulu, Diamond Head, Black Point, Waikīkī, and Ala Moana



Councilmember Tommy Waters

Honolulu Hale 530 South King Street, Room 202 Honolulu, HI 96813 Phone: 768-5004 Fax: 768-1171 tommy.waters@honolulu.gov

Committees

Chair, Public Safety and Welfare Committee

Chair, Economic Assistance and Revitalization Committee

Vice Chair, Zoning, Planning and Housing Committee

Member

Budget Committee

Executive Matters and Legal Affairs Committee

Business, Economic Development and Tourism Committee

Paid for by the taxpayers of the City and County of Honolulu

Aloha,

It has been an honor and privilege to represent you over the past year. I want to extend a warm mahalo to all of our participants in our town hall meetings, with over 500 attendees from Hawai'i Kai to Waikīkī, as well as all of our neighbors that make our district such a great place to live in. I also want to recognize the hard work and advocacy from our seven neighborhood boards that work tirelessly to advise our office on issues impacting our community. I am humbled that I can

Councilmember Waters distributes canned food to kupuna in partnership with the Waikīkī Community Center on May 14, 2020.





Councilmember Waters recognizes Board Member Tehani Malterre of the Hawai'i Kai Neighborhood Board on October 9, 2019.

I recognize and understand that people are hurting like never before. As the Chair of the Committee on Economic Assistance and Revitalization, my goal is to provide a forum for community input on how to best utilize the Coronavirus Aid, Relief and Economic Security (CARES) Act funds and to facilitate our conversation about the future of our economy and implement solutions.

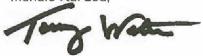
contribute and serve as your advocate.

Ensuring that we address food security is one of the priorities I have worked on over this past year. I introduced Resolution 19-242 last October to urge the City to create a Food Security Administrator position to promote food security, self-sufficiency and sustainability for the Island of O'ahu. I have followed through on that resolution by advocating during the budget cycle for a City Food Security and Sustainability Program Manager, which will be tasked with the development of a strategic food system development plan to address

sustainability within O'ahu's food system and increasing access to locally-produced foods. With the COVID-19 pandemic, it is abundantly clear that we need to reduce our reliance on imported food, and I will continue to advocate for policies that promote food security for the future of O'ahu and Hawai'i.

Your thoughts and opinions are important to me. Please do not hesitate to contact me or my staff with questions or concerns on city-related issues. I remain committed to working hard for you.

Mahalo Nui Loa.



LEGISLATIVE UPDATE

During the past year, I've introduced or helped to pass the following legislative priorities in response to hearing about these community concerns:

- Resolution 19-188 Addressing Noisy Helicopter
 Tours by urging the Federal Aviation Administration
 to more effectively regulate tour aircraft flying over
 residential neighborhoods.
- Resolution 19-242 Promoting Food Security by urging the City Administration create a food security administrator position.
- Resolution 19-227 Fighting for Our Keiki in Classrooms by urging the State Legislature to provide funding for the electrical assessment and the installation of air conditioning at public schools.
- Resolution 19-304 Protecting Our Open Space by rezoning the 9.5 acres at the back of Wailupe Valley from Residential to Preservation.
- Resolution 19-329 Empowering Our Youth by forming a City Youth Commission that can advise the City Council and the City Administration on policies.
- Resolution 19-331 Strengthening Our Ethics Commission by giving the Ethics Commission greater autonomy over its budget.
- Bill 42 (2020) Protecting our Neighborhoods by requiring building permit applicants to attest that construction complies with all applicable restrictive covenants.
- Bill 3 (2019) Lowering Taxes for Seniors by increasing home exemptions.
- Bill 21 (2019) Combating Domestic Violence by establishing a City Domestic Violence program.
- Bill 38 (2019) Safe Beaches for our Keiki by extending lifeguard hours from Dawn til Dusk.
- Bill 40 (2019) Increasing our Resiliency by phasing out single-use plastic goods.
- Bill 53 (2019) Addressing Noisy Mopeds by amending the City's Traffic Code to address noise caused by the operation of motorcycles and mopeds.
- Bill 89 (2018) Regulating Vacation Rentals in our Residential Neighborhoods by restricting advertisements and providing the Department of Planning and Permitting further mechanisms to enforce the law.



Councilmember Waters addresses youth advocates at the signing ceremony for Bil | 40 on December 15, 2019.



Councilmember Waters advocates for Resolution 19-304 at the Zoning, Planning and Housing Committee meeting on February 6, 2020.



Councilmember Waters and Rep. Gene Ward talk with concerned parents at Koko Head Elementary School about the lack of air conditioning in classrooms on September 17, 2019.



Agenda Item V.A.1.a. Page 3 [Draft Financial Disclosure Legislation]



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RELATING TO FINANCIAL DISCLOSURES FILING REQUIREMENTS.

BE IT ORDAINED by the People of the City and County of Honolulu:

SECTION 1. Purpose. The purpose of this ordinance is to amend the reporting period requirements for financial disclosures filed with the Honolulu Ethics Commission.

SECTION 2. Section 3-8.4, Revised Ordinances of Honolulu 1990, is amended to read as follows:

"Sec. 3-8.4 Financial disclosures.

(a) Definitions. The following words used in this section shall have the respective meanings in this subsection:

"Business" includes a corporation, a partnership, a sole proprietorship, a trust or foundation, or other individual organization carrying on a business, whether or not operated for profit.

"Candidate" has the meaning given it by HRS Section 11-191. "Elective" means all elective offices of the City and County of Honolulu.

"Employee" means all full time employees of the executive and legislative branches of the City and County of Honolulu and all full-time employees of the board of water supply and the Honolulu Authority for Rapid Transportation who are exempt from civil service pursuant to Revised Charter Sections 6-1103 and 6-1104, but excluding all persons hired under the Comprehensive Employment and Training Act and under Revised Charter Section 6-1103 (e), (f), (g), and (h).

"Income" means gross income as defined by Section 61 of the Internal Revenue Code of 1954.

"Officer" has the same meaning as in Section 13-101.4 of the revised charter and shall include officers of the board of water supply and the Honolulu Authority for Rapid Transportation.

- (b) Filing of Financial Disclosures.
- (1) Candidates to Office. Any candidate for nomination or elective office for the City and County of Honolulu shall file within 10 working days after the



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deadline for filing as a candidate for office, a financial disclosure <u>reporting</u> on the preceding twelve months and as provided herein.

- (2)
- (A) Officers. Any officer of the executive or legislative branch shall file a financial disclosure reporting on the preceding twelve months and as prescribed herein within 20 working days after taking the oath of office and annually thereafter on or before January 31st of each year until the end of the term of office.
- (B) If an officer is reelected or reappointed for a new term, the foregoing prescription of filing financial disclosures shall be observed.
- (3) Employees. Employees of the executive or legislative branches shall file financial disclosures reporting on the preceding twelve months and as prescribed herein within 20 working days after the effective date of this section the employees' hire date and file financial disclosures reporting on the preceding calendar year annually thereafter on or before January 31st of each year.
- (c) The disclosure of financial interests shall state, in addition to the financial interests of the person disclosing, the financial interests of the person's spouse and dependent children, and shall include:
 - (1) The source and amount of all income of \$1,000.00 or more received, for services rendered, by the person in such person's own name or by any other person for such person's use or benefit [during the preceding calendar year] and the nature of the services rendered; provided, that information that may be privileged by law or individual items of compensation that constitute a portion of the gross income of the business or profession from which the person derives income need not be disclosed.
 - (2) The name of each creditor to whom the value of \$3,000.00 or more was owed [during the preceding calendar year] and the original amount and amount outstanding; provided that debts arising out of retail installment transactions for the purchase of consumer goods need not be disclosed.
 - (3) The amount and identity of every ownership or beneficial interests held during the disclosure period in any business incorporated, regulated, or licensed to carry on business in the state having a value of \$5,000.00 or



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more or equal to 10 percent of the ownership of the business and, if the interest was transferred during the [preceding calendar year,] reporting period, the date of the transfer; provided, that an interest in the form of an account in a federal or state regulated financial institution, an interest in the form of a policy in a mutual insurance company, or individual items in a mutual fund or a blind trust, if the mutual fund or blind trust has been disclosed pursuant to this paragraph, need not be disclosed.

- (4) Every officership, directorship, trusteeship or other fiduciary relationship held in a business during the [preceding calendar year,] reporting period, the term of office and the annual compensation.
- (5) The tax map key number and street address, if any, and the value of any real property in the City and County of Honolulu in which the person holds an interest whose value is \$10,000.00 or more, and if the interest was transferred or obtained during the [preceding calendar year,] reporting period, a statement of the amount and nature of the consideration received or paid in exchange for such interest, and the name of the person furnishing or receiving the consideration.
- (6) The amount and identity of every creditor interest in an insolvent business held during the [preceding calendar year] reporting period, having a value of \$5,000.00 or more.
- (7) The names of clients personally represented before city agencies, except in ministerial matters, for a fee or compensation during the [preceding calendar year] reporting period, and the names of the city agencies involved.

(d) Filing Requirements.

- (1) All public financial disclosures shall be filed with the office of the city clerk and a copy shall be transmitted by that office to the ethics commission. All confidential disclosures shall be filed with the city ethics commission.
- (2) The form for all public financial disclosures shall be as prescribed by the city clerk; provided that the person's residence address, including tax map key number, is disclosed on a separate form for "internal use only" and shall not be publicly disclosed by the city clerk or city ethics commission. The forms for confidential disclosures shall be as prescribed by the city ethics commission.



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- (3) When leaving office or employment with the city. Any officer or employee of the city shall file a financial disclosure as prescribed herein and shall report on the period of time from the date of the last filed financial disclosure to the date of the leaving office disclosure. This disclosure shall be filed 10 working days before an officer is to leave such person's office or an employee is to terminate such person's employment with the city. This requirement will also include transfer of an officer or employee from the city to either the state or federal governments.
- (e) The financial disclosure statements of the following persons shall be public record and may be opened for inspection by the public during office hours of the city clerk:
 - All candidates for elective office;
 - All elected officers;
 - (3) The directors of the city agencies and their first deputies.

All other financial disclosure statements required to be filed under this section shall be confidential.

- (f) Penalty.
 - (1) Officers and Employees.
 - Late Filing. Any officer or employee of the city whose required (A) financial disclosure is not received by the ethics commission or the city clerk, whichever is applicable, by the close of business on the deadline date specified in subsection (b), shall be given a notice of violation of the provisions of this section by the ethics commission or the city clerk, whichever is applicable. The notice shall state that the city officer or employee has 10 days from receipt of the notice in which to file the required financial disclosure or be subject to the penalties provided in this paragraph and Section 3-8.5. Any city officer or employee, who has received this notice and fails to file the required disclosure within 10 days of receipt of the notice, shall be subject to a civil fine according to the following schedule: \$100.00 for the first late filing; \$200.00 for the second late filing; and thereafter, for each additional late filing, the fine imposed for the previous late filing plus \$200.00. Any penalty or fine shall be imposed after an opportunity for a hearing conducted by the ethics commission under HRS Chapter 91.



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- (B) Failure to File. Any officer or employee of the city who fails to file a financial disclosure as required in this section within 30 days from receipt of the notice of violation referred to in paragraph (A), shall, in addition to any civil fines imposed under paragraph (A), be subject to:
 - (i) The provisions of Section 3-8.5 relating to noncompliance; or
 - (ii) A criminal penalty of a fine of not more than \$2,000.00 or of imprisonment for not more than one year, or of both such fine and imprisonment, or to both (i) and (ii).

(2) Candidates.

- (A) Late Filing. Any candidate whose required financial disclosure is not received by the city clerk by the close of business on the deadline date specified in subsection (b), shall be given a notice of violation of the provisions of this section by the city clerk. The notice shall state that the candidate has 10 days from receipt of the notice in which to file the required financial disclosures or be subject to the penalties provided in this paragraph. Any candidate, who has received this notice and fails to file the required disclosure within 10 days of receipt of the notice, shall, upon election to office. be subject to the provisions of Section 3-8.5 and a civil fine according to the following schedule: \$100.00 for the first late filing; \$200.00 for the second late filing; and thereafter, for each additional late filing, the fine imposed for the previous late filing plus \$200.00. Any penalty or fine shall be imposed after an opportunity for a hearing conducted by the ethics commission under HRS Chapter 91.
- (B) Failure to File. Any candidate who fails to file a financial disclosure as required in this section within 30 days from receipt of the notice of violation referred to in paragraph (A), shall, in addition to any civil fines imposed under paragraph (A), be subject to a criminal penalty of a fine of not more than \$2,000.00 or of imprisonment for not more than one year, or of both such fine and imprisonment.
- (3) Rules.



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The ethics commission shall have the authority to establish rules to implement subdivisions (1) and (2).

SECTION 3. Ordinance material to be repealed is bracketed and stricken. New material is underscored. When revising, compiling, or printing this ordinance for inclusion in the Revised Ordinances of Honolulu, the Revisor of Ordinances need not include the brackets, the material that has been bracketed and stricken or the underscoring.

SECTION 4. This ordinance takes effect upon its approval.

	INTRODUCED BY:
DATE OF INTRODUCTION:	
Honolulu, Hawaii	Councilmembers
APPROVED AS TO FORM AND LEGAL	LITY:
Deputy Corporation Counsel	-
APPROVED this day of	. 20



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KIRK CALDWELL, Mayor City and County of Honolulu



Agenda Item V.A.1.b. Page 3 [Draft Lobbyist Legislation]

RELATING TO REGISTERED LOBBYIST NOTARY REQUIREMENT.

BE IT ORDAINED by the People of the City and County of Honolulu:

SECTION 1. Purpose. The purpose of this ordinance is to amend the notary requirement for lobbyists registered with the Honolulu Ethics Commission.

SECTION 2. Chapter 3, Article 13, Section 3-13.4, Revised Ordinances of Honolulu 1990 ("Registration and report forms to conform to law and truth."), is amended to read as follows:

"Sec. 3-13.4 [Registration] Certification of registration and report forms [to conform to law and truth].

Each registration and report form required to be filed under this article [shall conform to law and truth and] shall be [signed and] certified [under oath as true and correct] by the registrant, or, if the registrant is a person other than an individual, by an appropriate officer of such registrant."

SECTION 3. Ordinance material to be repealed is bracketed and stricken. New material is underscored. When revising, compiling, or printing this ordinance for inclusion in the Revised Ordinances of Honolulu, the Revisor of Ordinances need not include the brackets, the material that has been bracketed and stricken or the underscoring.

SECTION 4. This ordinance takes effect upon its approval.

INTRODUCED BY: